

Applying Collaboration to EPA Decision-Making

USEPA Region 10
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WORKBOOK PAGE:

1

Course Goals

- Increase our knowledge of collaboration
- Know when to apply collaboration
- Explore EPA roles in organizing and supporting collaboration



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WORKBOOK PAGE:

Course Topics

1. Understanding and Using Collaboration
 2. The Collaborative Process
 3. Situation Assessments
 4. Being Collaborative
 5. Key Collaborative Skills
- (this is a distillation of a 5 day course!)



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WORKBOOK PAGE:

Introductions

What's your:

- **Passion.** How would you describe your role at EPA and passion for what you do in one sentence?
- **Motivation.** What do you most want to learn about collaboration?



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WORKBOOK PAGE:

Opening Exercise

Win As Much As You Can



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WORKBOOK PAGE:

1

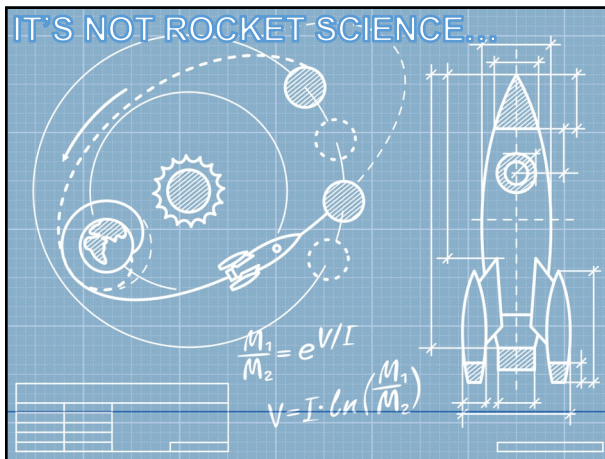
What is Collaboration?

col·lab·o·ra·tion

The act of working together with one or more people, to achieve something.



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WORKBOOK PAGE: **It Is Good Governance...**

Four Critical Capacities for Democracy:

- Resolve conflicts peacefully
- Cooperate across party lines
- Inclusive agendas for action
- Capacity for citizen participation.

Source: International Institute for Democracy and Electoral Assistance

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WORKBOOK PAGE: **1**

*"Collaboration is **not** code for compromise. It is the **pursuit of what's possible** checked only by the realities of what is workable. Collaboration does not eliminate litigation, but it can minimize it. Collaboration doesn't take away from hard decisions, but **it improves acceptance.**"*

- Former EPA Administrator Michael Leavitt, December 12, 2003

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WORKBOOK PAGE: **1**

What is Collaboration?

Attitude
+
Approach

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WORKBOOK PAGE: **Collaboration...**

THAT'S LIFE MIKE TWOHY

Results in Better Decisions

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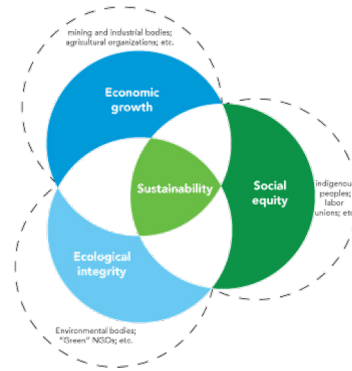
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Collaboration...

- Attacks Difficult Problems
- Supports Comprehensive Decision-making
- Promotes Transformational Thinking
- Encourages Ownership of Decisions
- Builds Sustainable Decisions

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Sustainability



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Ownership...

Creates
Ownership
of Decisions



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Powerful Decisions



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Powerful Decisions

Tell me, I forget
Show me, I remember
Involve me, I understand

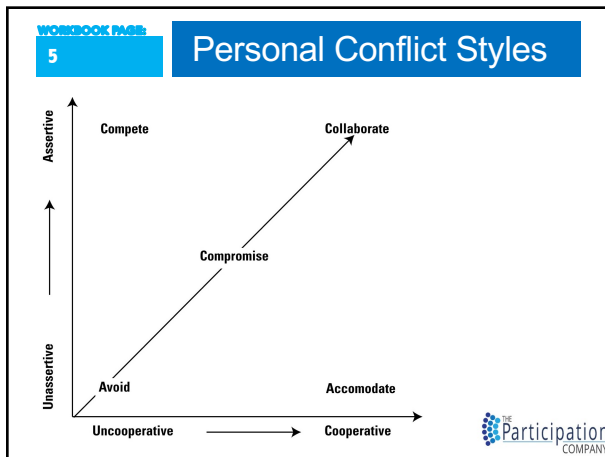
Chinese Proverb

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Group Cooperation Styles

- We will not be effective outside EPA if we are not collaborative inside EPA
- Table on Page 4

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WORKBOOK PAGE: 5

Table Discussions

- Bottom of page 5
- How do our individual and group behaviors affect our ability to collaborate internally and externally?

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WORKBOOK PAGE: 6

Collaboration Characteristics

- Relationships
- Cooperation
- Shared Learning
- Transformational Thinking
- Sustainability

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WORKBOOK PAGE: 6

Collaboration Characteristics

Relationships

- Respect
- Time to learn about each other
- Trust
- Shared interests

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WORKBOOK PAGE: 6

Collaboration Characteristics

Cooperation

- All key parties engaged
- Everyone understands problem, process, and rationale
- Work together with focus on solving the problem

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WORKBOOK PAGE: 6

Collaboration Characteristics

Shared Learning

- Everyone understands each other
- Everyone understands the problem
- All information is transparent
- Shared development and analysis of options

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Collaboration Characteristics

Transformational Thinking

- Not compromise
- Creative thinking
- Unanticipated solutions
- Integration of interests

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Collaboration Characteristics

Sustainability

- Ownership by key stakeholders
- Design for the real world
- Clear plan for implementation
- Clear roles and responsibilities

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When Do We Collaborate?

Informally all the time

Formally only when it makes sense

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Formal Collaboration

- Takes time and money up front
- But can save both over the long term

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Formal Collaboration

Best for decisions ...

- That are complex, wide-ranging, long-term
- Requiring implementation by other parties
- Requiring diverse input and agreement
- Where EPA lacks the resources to go alone

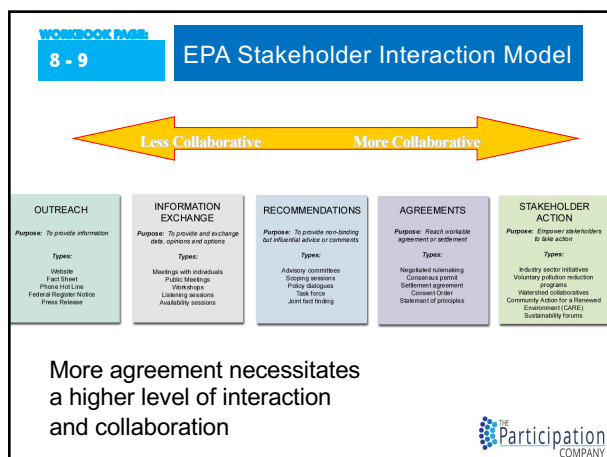
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Formal Collaboration

Consider for ...

- Cleanup decisions
- Key policies and regulations
- Designing voluntary programs
- Resolving complex disputes
- Partnering with other agencies

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WORKBOOK PAGE: 10 **Class Discussion**

- How do you use collaboration now?
- Circumstances where we use it
- Circumstances where are we choosing not to use it?
- Are we making wise choices?

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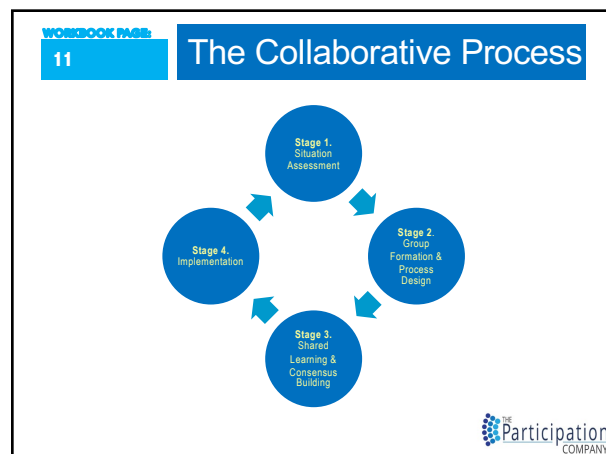
WORKBOOK PAGE: 11 **2.0 Collaborative Process**

Collaboration Engages the Whole System

- Define the problem/decision
- Make the decision
- Implement the decision
- Sustain the decision

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WORKBOOK PAGE: 12 **Collaborative Stages**

Stage 1. Situation Assessment

1. Our view
2. Who are the stakeholders
3. Their views
4. Relationships
5. BASIC assessment
6. Decision about collaboration
7. Commitment
8. Evaluation

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WORKBOOK PAGE: 12 **Collaborative Stages**

Stage 2. Formation and Design

1. Convening and commitments
2. Build/repair relationships
3. Jointly define the problem
4. Mission, objectives, ground rules
5. Define process and facilitation
6. Communications
7. Evaluation

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Collaborative Stages

Stage 3. Shared Learning/Consensus

1. Shared learning
2. ID values and interests
3. ID criteria for success
4. Joint development of alternatives
5. Group analysis
6. Build the best answer together
7. Evaluate



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Collaborative Stages

Stage 4. Implementation

1. Written agreements
2. Explicit implementation plans
3. Plan for the real world
4. Clarify roles and responsibilities
5. Outreach and education
6. Evaluate



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Collaboration is Different

The process we use largely determines the outcomes we get



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EPA Roles

- Multiple roles are possible
- Can sometimes be playing more than one role
- How we participate can greatly shape the outcome
- Whichever role we play, it's an opportunity to model behaviors for others



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EPA Roles

Leader

- Convenes process and group
- Responsible for success
- Pays for process resources
- Ultimate decision-maker
- Most importantly sets the tone



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EPA Roles

Participant

- Key stakeholder
- Collaborative attitude
- Model behavior
- Contribute resources



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EPA Roles

Facilitator

- Design and manage entire process
- Content neutral if in formal role
- Learning/dialogue guide
- Mediator

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Other Facilitator Roles

- Create positive environment
- Logistics
- Get everyone heard
- Guide and enforce process
- Assist in consensus
- Establish and enforce ground rules

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Table Discussion

EPA Roles and Table on Page 14

- Consider a recent collaboration
- Which factors are most important and how were they applied?
- What roles did EPA play and how did we contribute to collaboration?
- What could we have done better?

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3.0 Situation Assessment

Three Phases

- Internal
- External
- Selecting the right approach

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Internal Assessment

BASIC Assessment

Barriers
Assumptions
Strengths
Incentives
Commitments


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Barriers

Real organizational, legal, or logistical issues that contribute to a lack of support for collaboration.


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Workbook Page: Barriers	
Real Barriers	Strategies to overcome
<ul style="list-style-type: none"> Identify specific barriers 	<ul style="list-style-type: none"> Why do they exist? Can or should they be overcome? How?




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Workbook Page: Assumptions	
19	
<ul style="list-style-type: none"> Perceptions of people and groups that contribute to how they view opportunities for collaboration. Perceived Barriers are assumptions. Recognize ALL negative assumptions (often begin with “we can’t”.) Challenge the assumptions. 	




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Workbook Page: Assumptions	
Assumptions	Strategies to overcome
<p>Identify any false impressions or attitudes based on misunderstanding and miscommunication.</p>	<p>How can we correct, clarify, or overcome these assumptions?</p>




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Workbook Page: Strengths	
19	
<p>Existing organizational and personnel attributes that can contribute to successful collaboration.</p>	




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Workbook Page: Strengths	
Existing Strengths	Strategies to build on
<p>Identify existing strengths.</p>	<p>Identify ways to leverage them toward a successful outcome</p>



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Workbook Page: Incentives	
20	
<p>How individuals are encouraged or discouraged to behave with regard to collaborative processes.</p>	



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Workbook Page: **Incentives**


Incentives	Strategies
Identify positive incentives to be reinforced.	Reinforcement strategies
Identify negative incentives to be changed.	Change strategies
	Motivation that can be created to encourage collaborative attitudes and discourage non-collaborative attitudes



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Workbook Page: **20** **Commitment**


The degree to which the organization is truly committed to supporting a collaborative process and outcome.



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Workbook Page: **Commitment**


Commitment	Strategies to Create
Identify the commitment available	Strategies to build on commitment
Identify the commitment needed.	Strategies to create commitment



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Workbook Page: **23** **External Situation Assessment**

- ID stakeholders, issues, challenges, obstacles
- Directly with Stakeholders
- Often by a neutral
- Confidential
- Report not for attribution




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Workbook Page: **22** **External Situation Assessment**

What are the Issues?

- Needs, interests, values
- Past history
- Level of knowledge
- Time, schedule constraints
- Desired outcomes
- Risks of non-resolution




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Workbook Page: **22** **External Situation Assessment**

Who are the stakeholders?

- Recognized participants
- Who is missing?
- Who's support is needed?
- Who's opposition would hurt?
- Past history
- Who **MUST** be in the room



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External Situation Assessment

What's Next?

- Relationships to repair
- Possible approaches
- Additional information needs
- Get others interested
- Needed resources/facilitation
- Realistic end products
- Commitments needed



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Selecting Best Approach

- Thoughtful analysis to determine the appropriate level of collaboration
- Must match the conditions, timing, available resources



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Situation Assessment Matrix

Aligns With the EPA Model

- Goals, commitment, roles
- Time and resource availability
- Credibility and trust
- Importance of issue
- Relationships and willingness of stakeholders
- Controversy and Complexity of issues
- Range of stakeholders



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Table Exercise

For your project:

- Use the Situation Assessment Matrix
- What level of collaboration makes sense?



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4.0 Being Collaborative

EPA needs to model the behavior that we would like to see from all participants



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Foundations

- Credible Lead Agency
- Clear Purpose
- Functional Relationships
- Trusted Information
- Dialogue
- Clear and Managed Process



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Credible Organizations

- Truthful
- Transparent
- Responsible
- Caring
- Consistent

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Credible Organizations

*"I don't care how much you know
until I know how much you care."*

--Every Stakeholder

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Collaborative Behaviors

- Willingness
- Openness
- Civility
- Humility
- Partnering

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Public Goodwill Accounts

- Deposits
- Withdrawals
- Balance

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Class Discussion

- What is EPA's goodwill balance with key stakeholders who we need to collaborate with?
- What are examples of the way we make deposits? Withdrawals?

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5.0 Collaborative Skills

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WORKBOOK PAGE: 31

Dialogue

Debate/Argument	Discussion	Dialogue
Objective is to Win	Objective is to be understood	Objective is to find common understanding
It's all about me	Me first	You first
You are my opponent	You need to be convinced	You are my colleague
Rudeness OK	Politeness expected	Truly interested

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WORKBOOK PAGE: 32

Moving to Dialogue

- Balance advocacy and inquiry
- Build Shared meaning
- Listen deeply
- Pay attention to your intentions
- Identify common ground
- Explore impasses

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WORKBOOK PAGE:

Listening?

“Conversation in the United States is a competitive exercise in which the first person to draw breath is declared the listener.”

- Nathan Miller

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WORKBOOK PAGE: 33

Listening Skills Test

Take this test for how you behave at work

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WORKBOOK PAGE: 34

Types of Listening

- Ignoring
- Arguing
- Passive
- Active

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WORKBOOK PAGE: 34

3 Steps to Active Listening

Step 1. Get Ready to Listen

- Stop talking
- Get rid of distractions
- Put your own thoughts aside
- Share responsibility for communication

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Step 2. Focus on the Speaker

- Empathize
- Express interest
- Encourage equally
- Be patient
- Listen to how something is said
- Pay attention to non-verbal clues
- Ask clarifying questions
- Reflect back what you've heard

Step 3. Monitor Yourself

- Know yourself
- Do not argue mentally
- Recognize your own prejudices and avoid judgments
- Do not antagonize the speaker
- Avoid assumptions
- Focus on the ideas

- This is not new
- It is a part of good governance
- Both attitude and approach
- Keep it simple
- Focus on behavior
- Pay attention to process
- Not always appropriate
- Sometimes we need help

- Desire to be cooperative
- Work to understand others
- Flexible and creative
- Problem-solvers
- Partners
- Facilitators
- Leaders

Deliberate process for shared action
throughout the full decision life-cycle:

- design
- convening
- implementation

Table Exercise

- Conduct a quick BASIC assessment for a project that might benefit from collaboration

Post Lunch Energizer

The Five Minute Mingle

- Meet as many people in the room as possible (keep count)
- Find 1 thing you have in common that you did not already know.